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Organizational Capacity Assessment (OCA) Overview

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Cairo, Egypt
February 2012

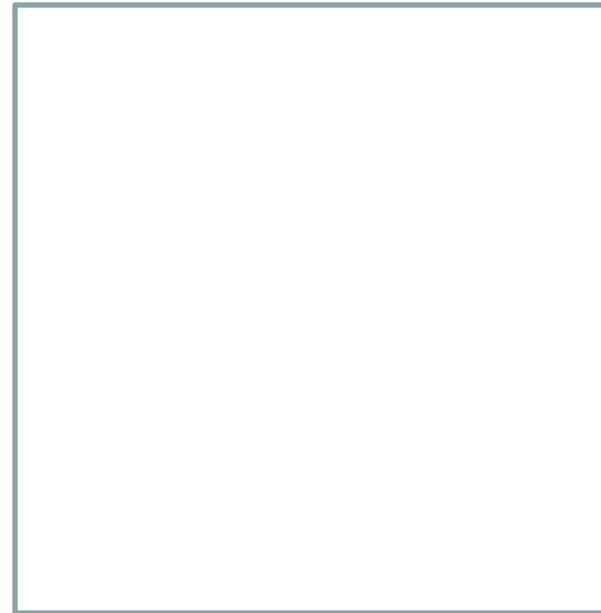


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SQUARE MODEL

1. External Environment
2. Organizational Motivation
3. Organizational Performance
4. Organizational Capacity

-IOA by Universalialia



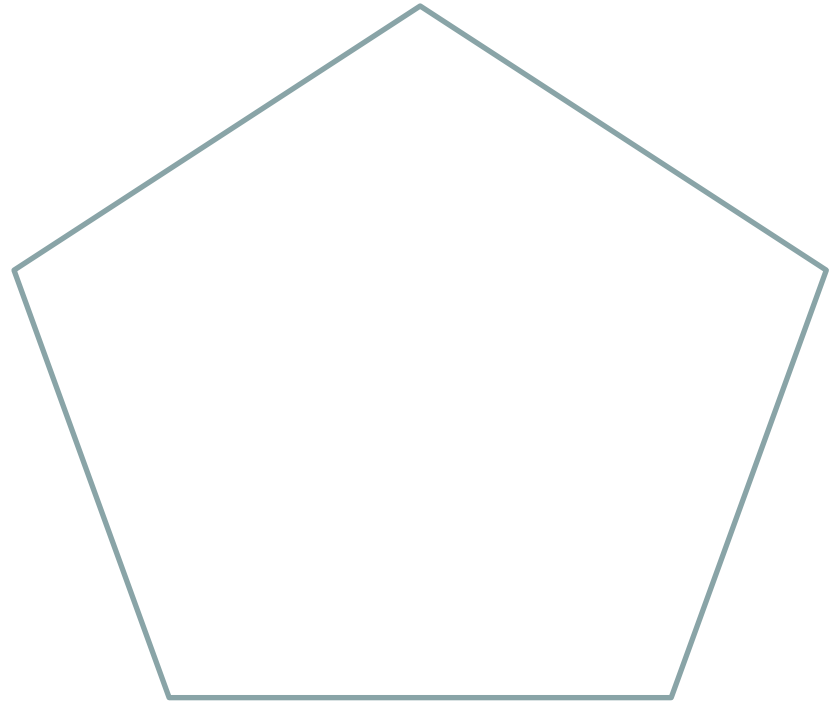


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PENTAGON MODEL

1. Mission, Vision, & Strategy
2. Structure
3. Management
4. Partnerships, Networks & External Relations
5. Leadership & Governance

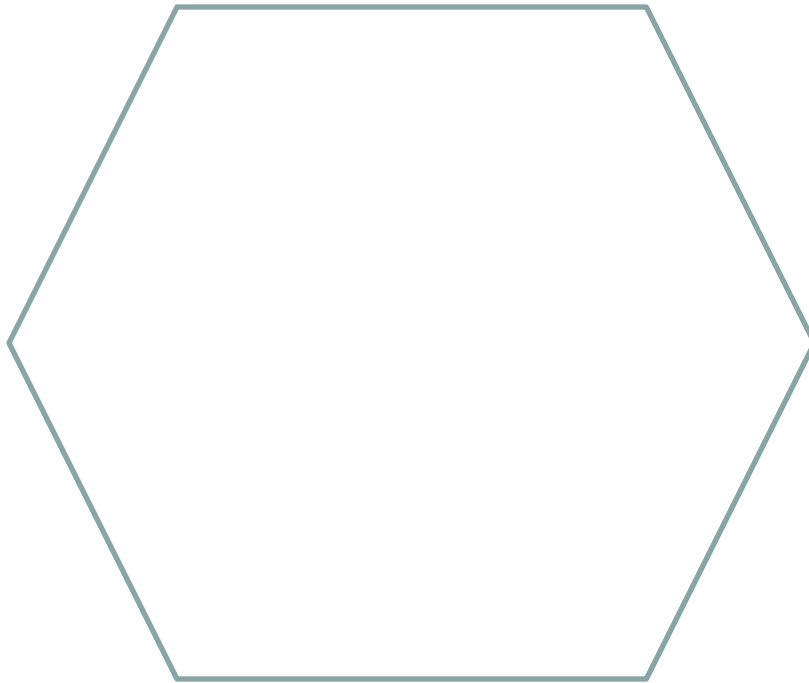
-AIDSTAR II





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HEXAGON MODEL



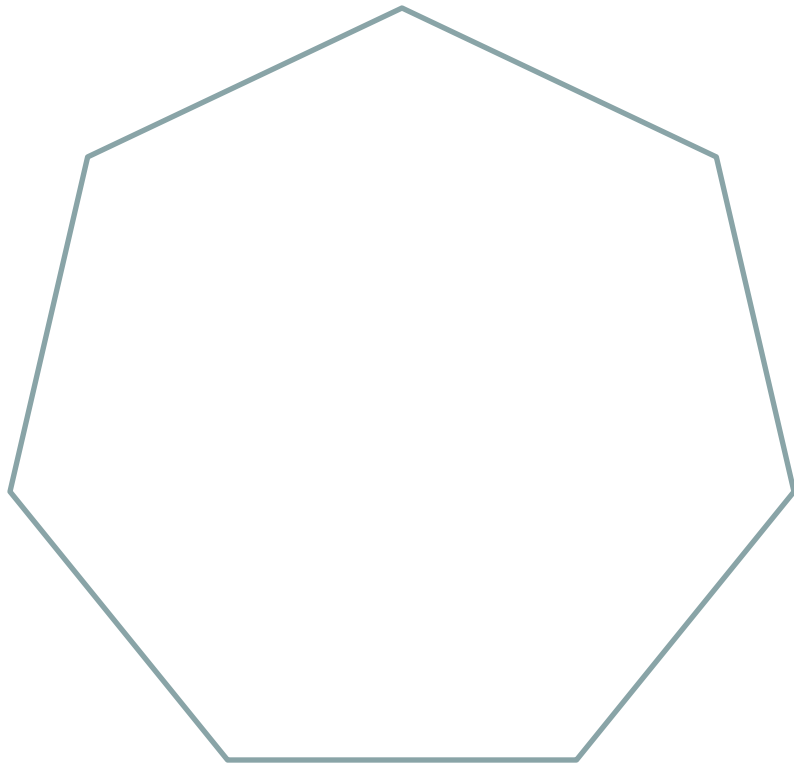
1. Purposes
2. Structure
3. Relationships
4. Rewards
5. Leadership
6. Helpful Mechanisms

-Weisbord 6 Boxes



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HEPTAGON MODEL



1. Structure
2. Strategy
3. Skills
4. Style
5. Staff
6. Shared Values
7. Systems

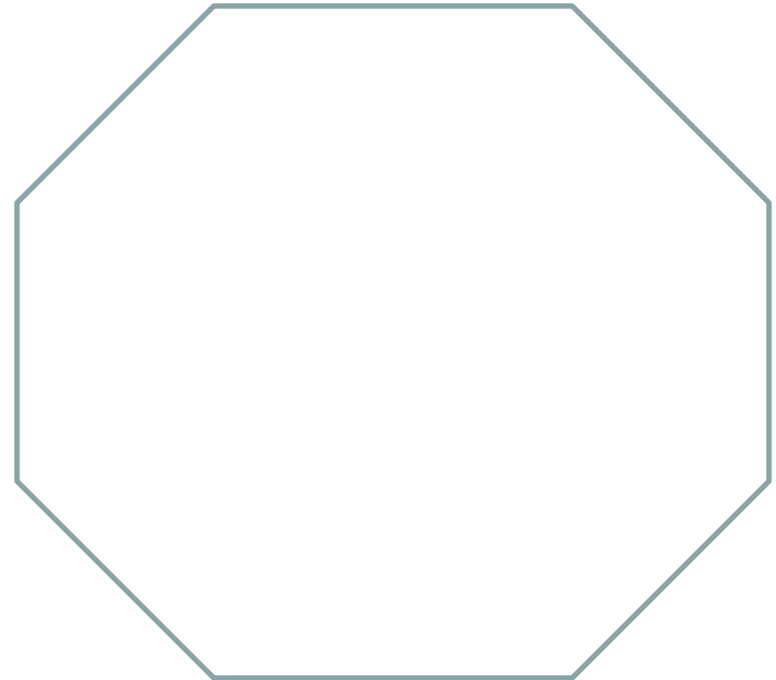
- Seven-S Model



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OCTAGON MODEL

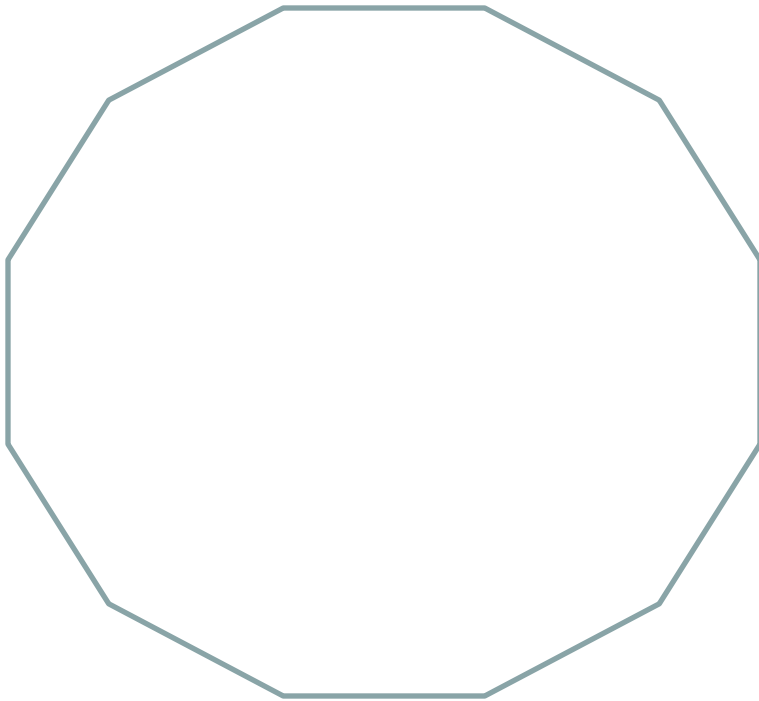
1. External Environment/
Institutional Analysis
 2. Financial Resource
Systems
 3. Role & Strategy
 4. Culture
 5. People & HR
Management
 6. Management Systems &
Practices
 7. Organizational Structure
 8. Outputs/Performance
- Open Systems
-Pact's OCAT
-McKinsey





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DODECAGON MODEL



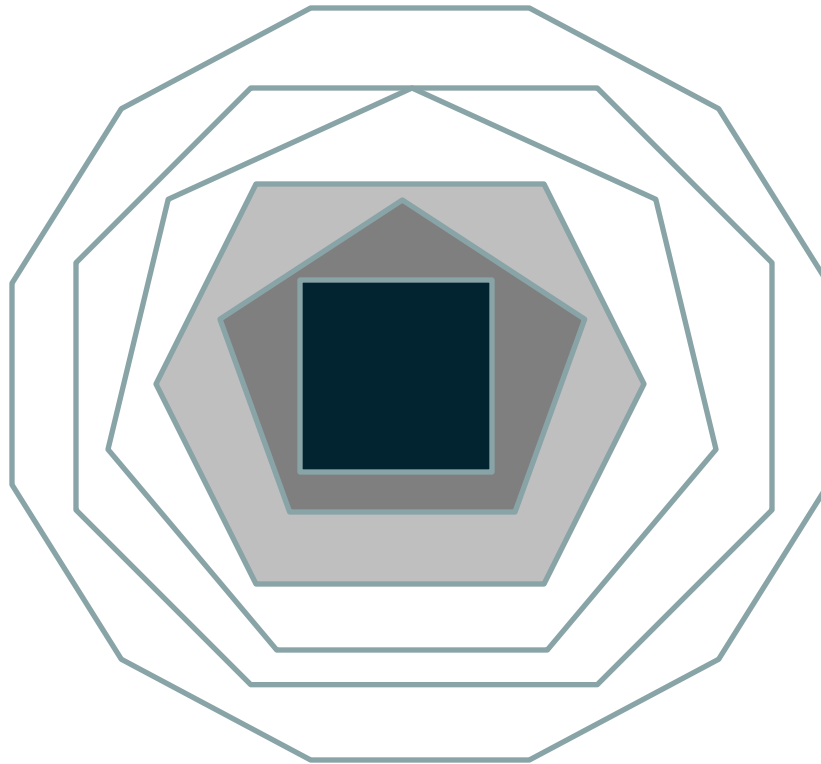
1. External Environment
2. Mission & Strategy
3. Leadership
4. Organizational Culture
5. Structure
6. Management Practices
7. Systems
8. Work Unit Climate
9. Task & Individual Skills
10. Individual Needs & Values
11. Motivation
12. Individual & Organizational Performance

-Burke & Litwin



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HOW DO YOU LOOK AT LCD?





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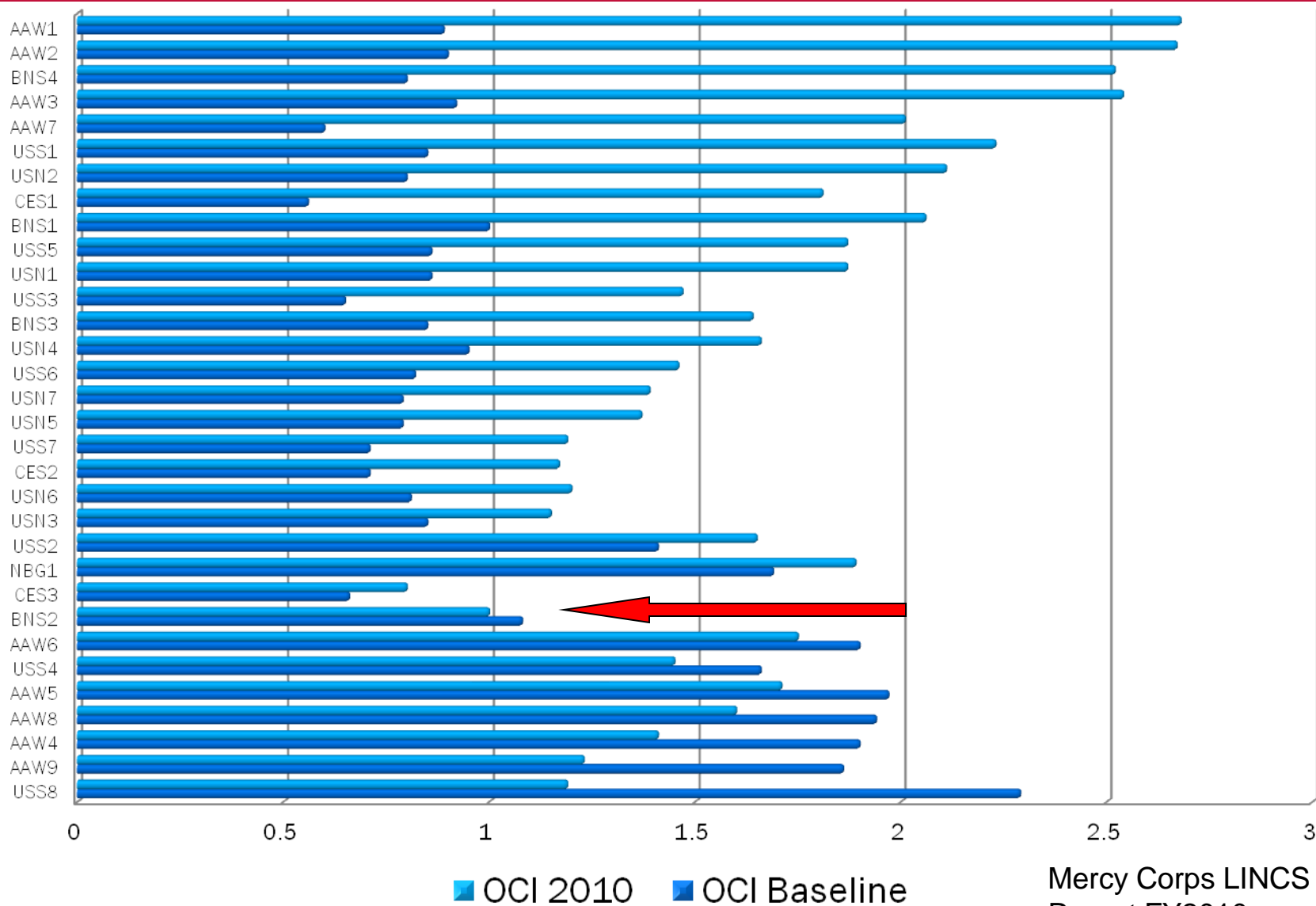
So what does this tell us?



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LINCS OCI SCORE CHANGE IN SOUTHERN SUDAN

OCI AVERAGE CHANGE = 79%





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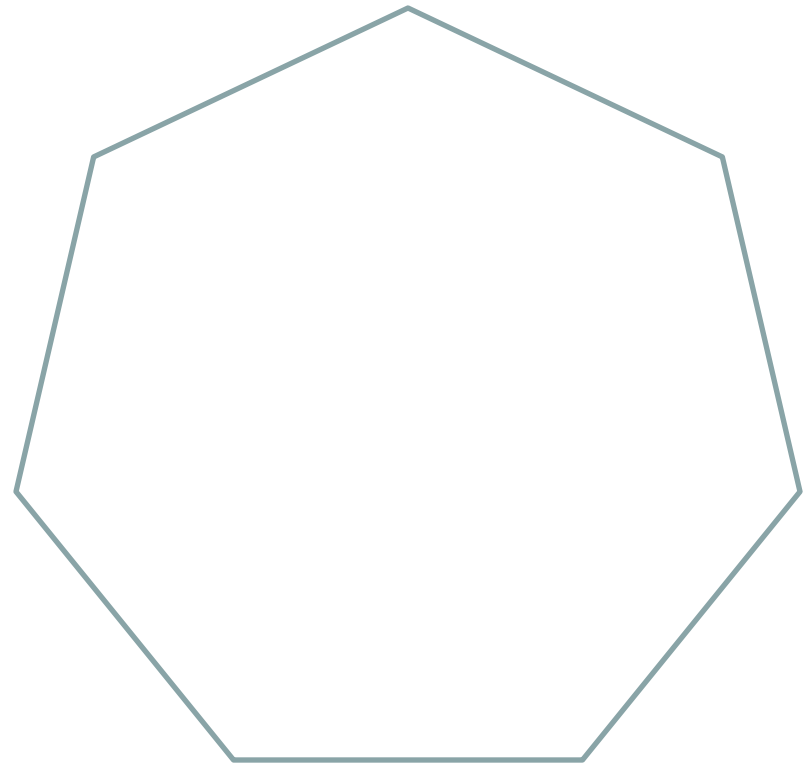




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HEPTAGON MODEL

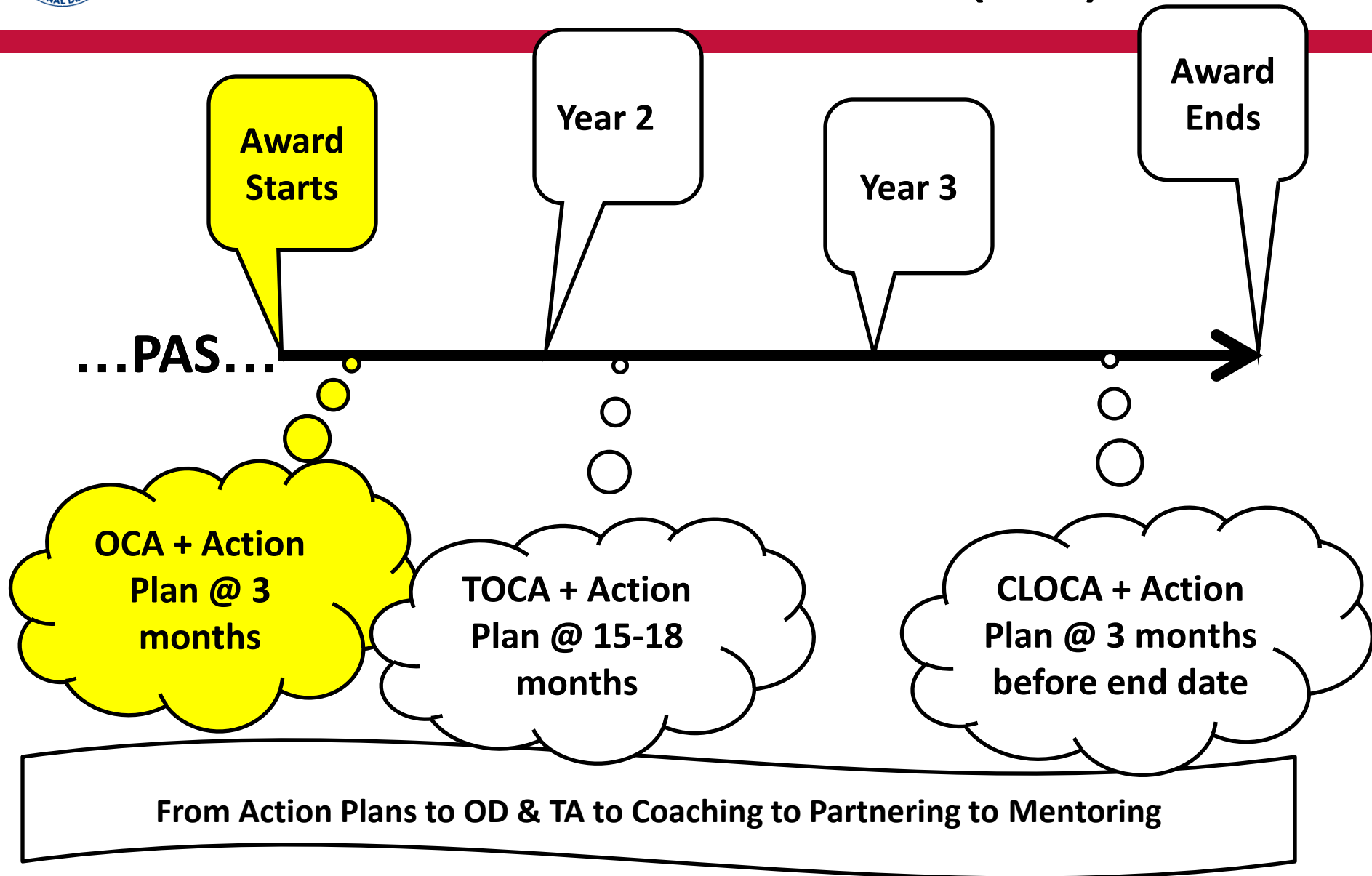
1. Governance
 2. Administration
 3. HR Systems
 4. Financial Systems
 5. Organizational Management
 6. Program Management
 7. Project Performance Management
- OCA/TOCA/CLOCA





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Organizational Capacity Assessment (OCA) Timeframe





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Organizational Capacity Assessment (OCA)

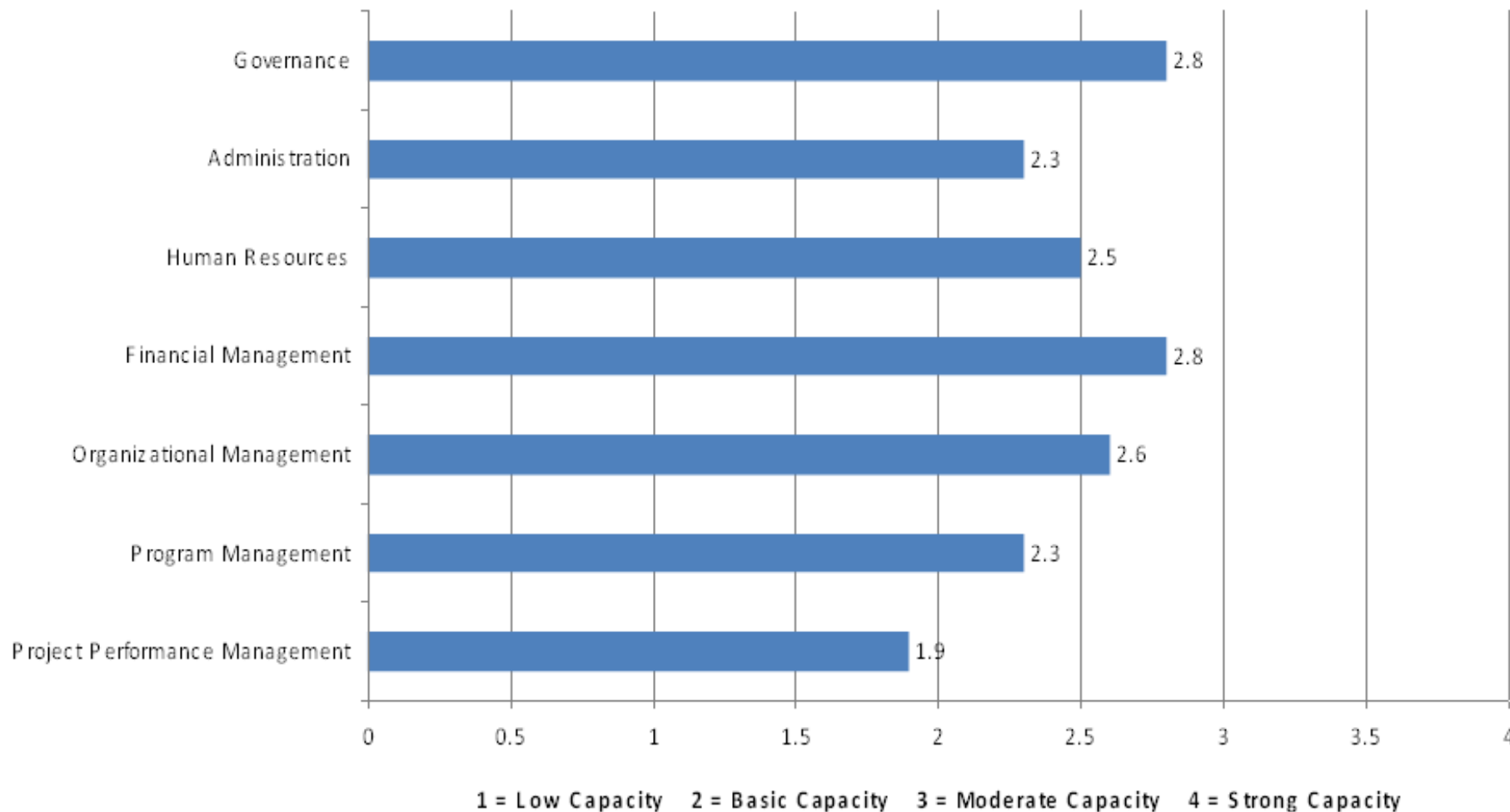
- Year 1 – conduct within 3 months **post-award**
- 2 - 3 day process with organization, USAID, TA
- **Guided Self-Assessment**
 - Scoring System 1-4 with Facilitator Guide
 - Dialogue & Relations
 - Action Plan by prioritization, responsible person, due date for 1st year



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TRENDS BY OCA MODULE

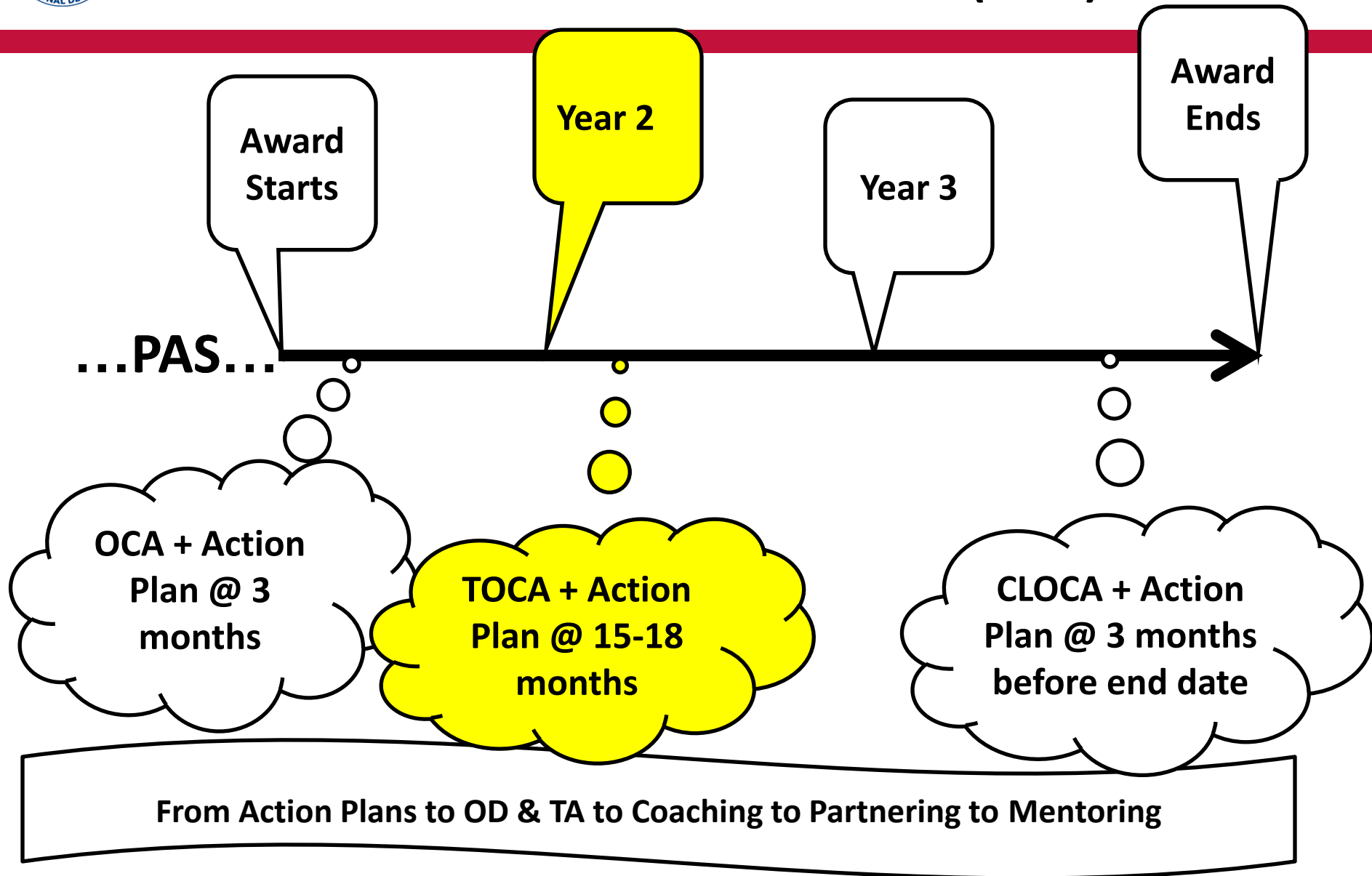
Average Capacity Scores Across All Organizations' Organizational Capacity Assessments





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Organizational Capacity Assessment (OCA) Timeframe





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Organizational Capacity Assessment + Technical (TOCA)

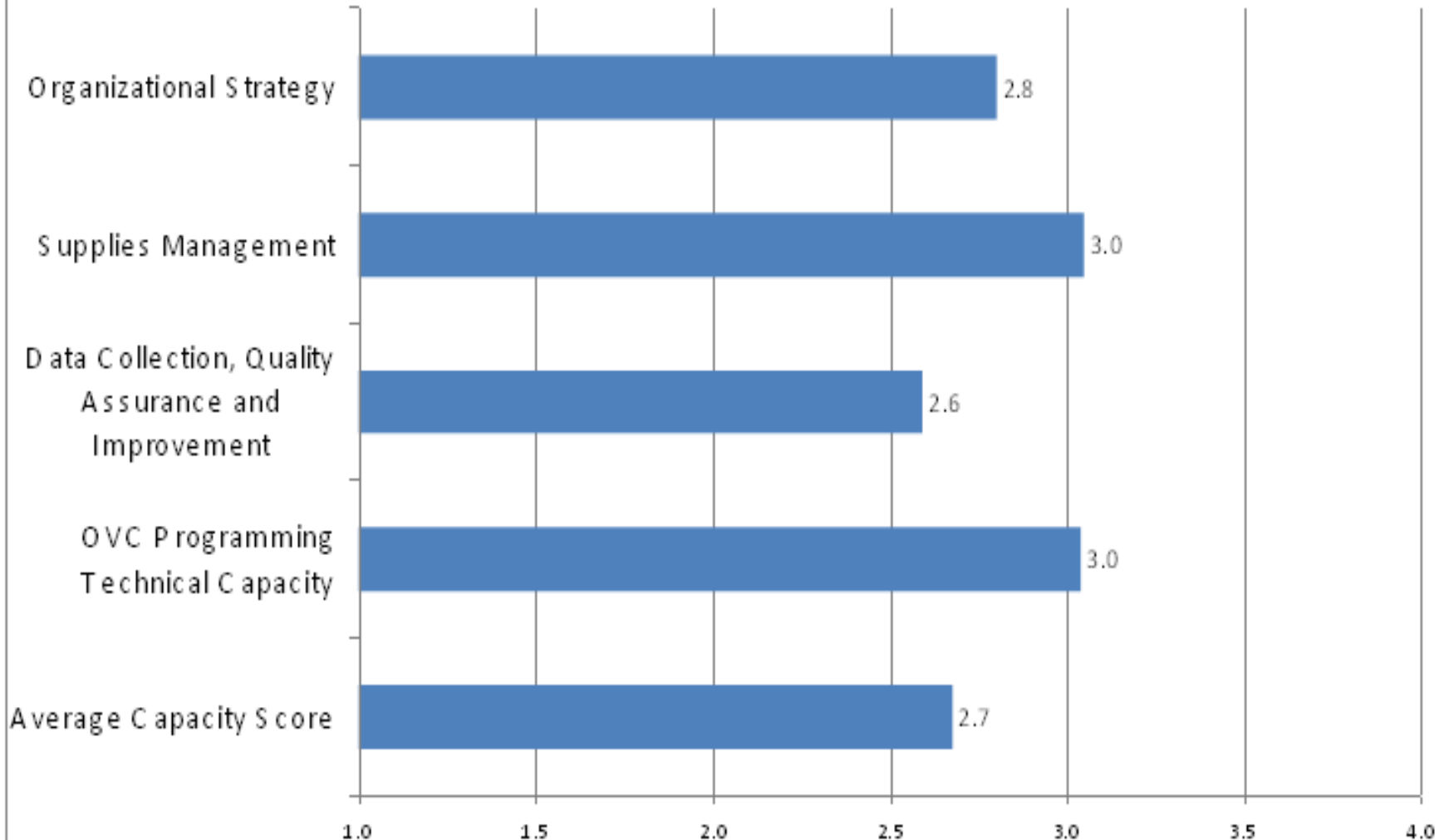
- Year 2 and beyond – conduct annually starting 12 months after 1st OCA
- 2 - 3 day process with organization, USAID, TA
- **Update Initial OCA**
- **Add Technical Assessment** based on programmatic areas (based on guidance, best practices, accepted approaches)
- **Guided Self-Assessment**
 - Scoring System 1-4 with Facilitator Guide
 - Dialogue & Relations
 - Action Plan by prioritization, responsible person, due date for 2nd year for Organizational Areas **and** Technical Areas



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AVERAGE TOCA SCORES

Average Technical Capacity Scores Across All Service Areas

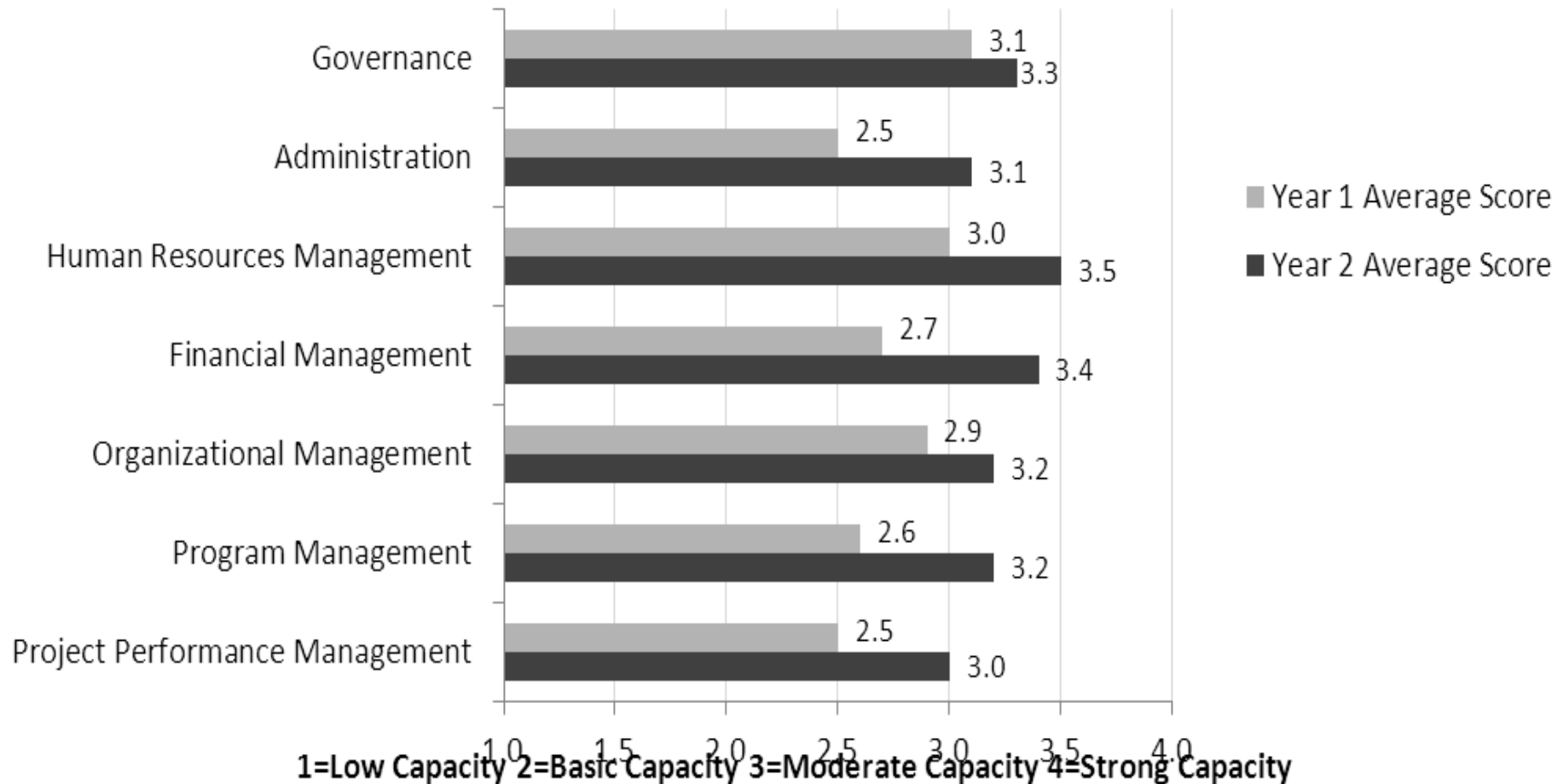




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% CHANGE IN OCA

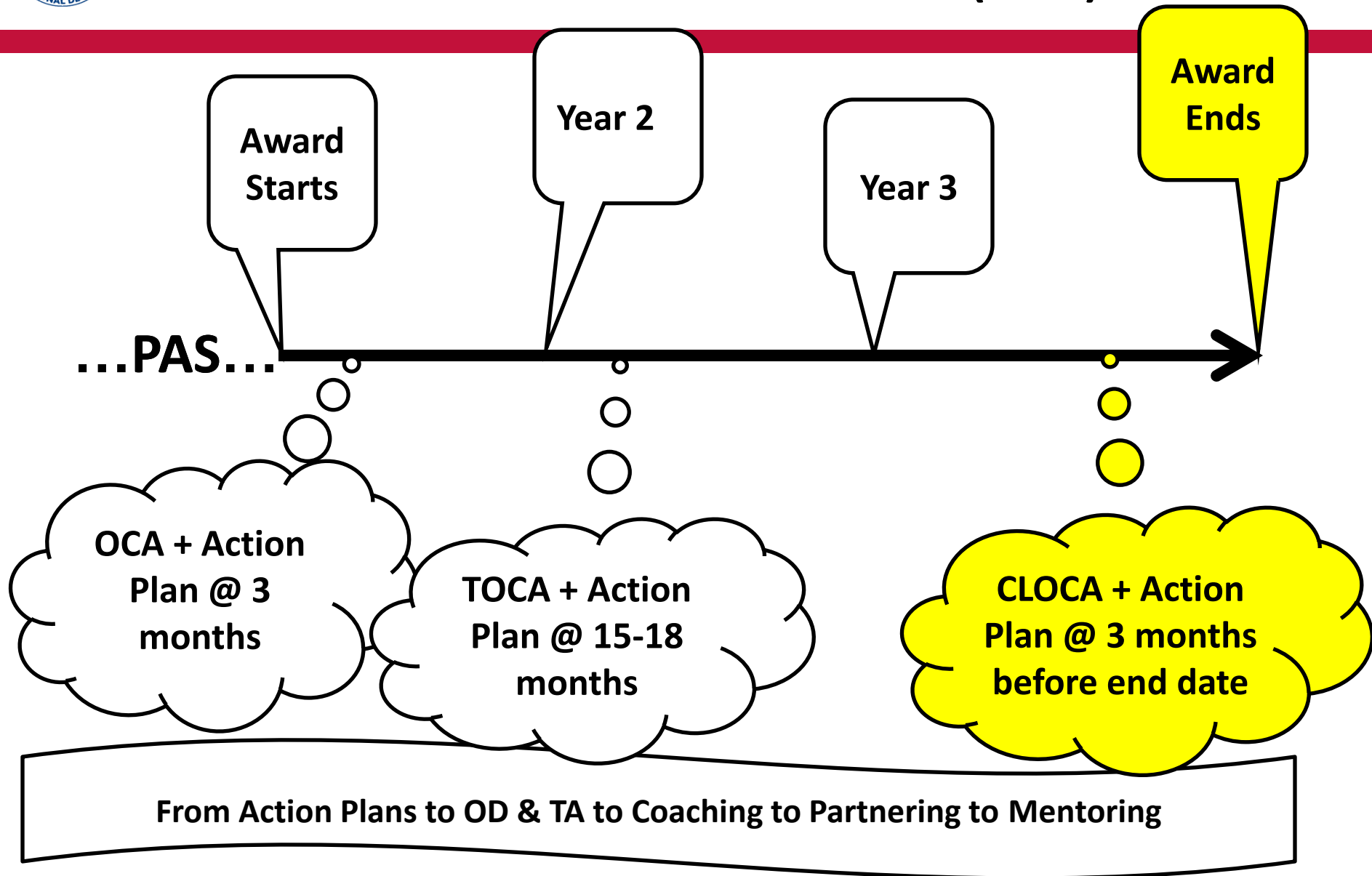
Y1 and Y2 Organizational Development Scores





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Organizational Capacity Assessment (OCA) Timeframe





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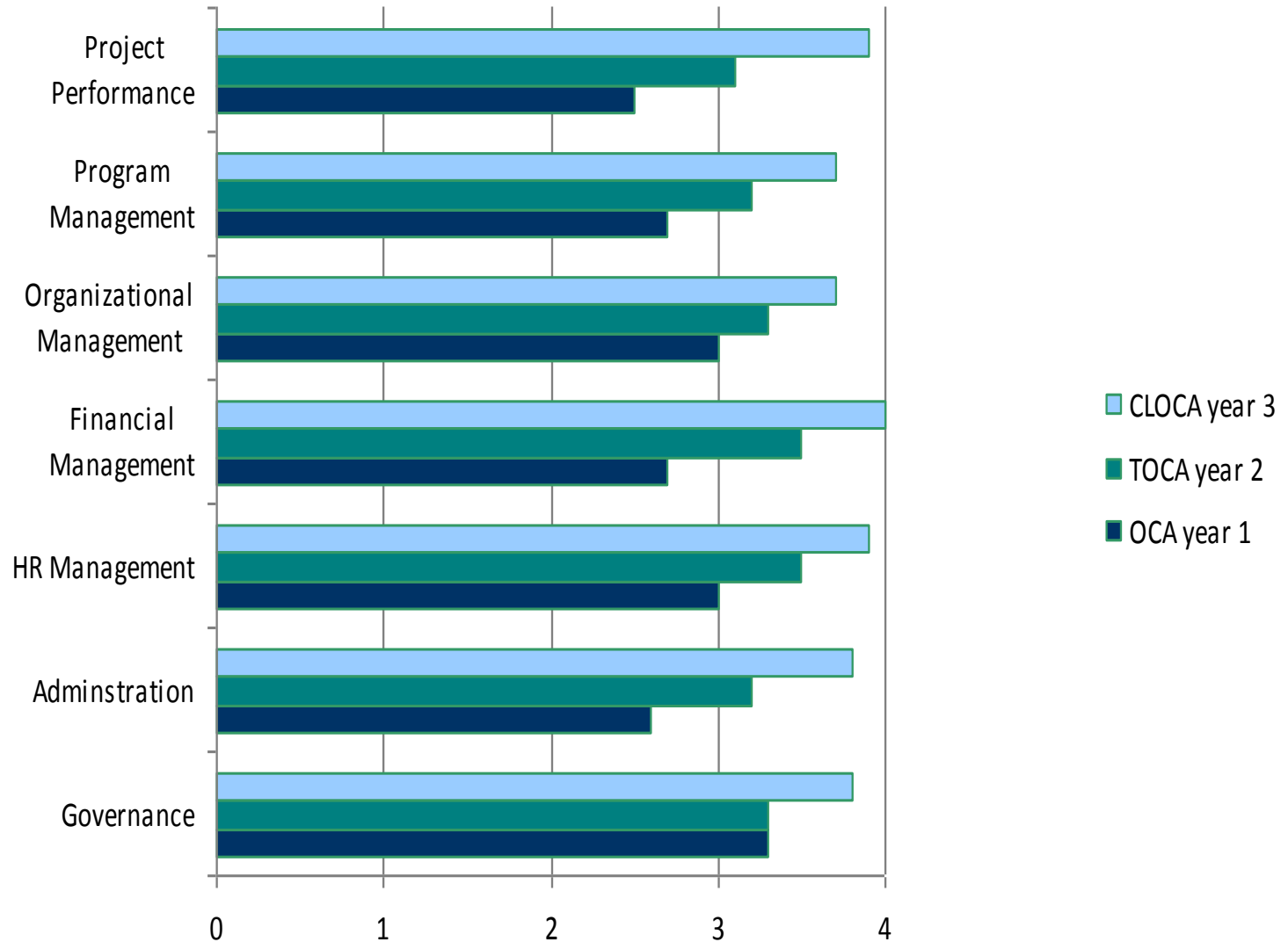
Close-Out Organizational Capacity Assessment (CLOCA)

- Final Year – conduct three months before the **end of the award**
- 2 - 3 day process with organization, USAID, TA
- **Guided Self-Assessment**
 - Scoring System 1-4 with Facilitator Guide
 - Dialogue & Relations
 - Action Plan by prioritization, responsible person, due date for 3rd, final year
 - **Action Plan developed for post-award**



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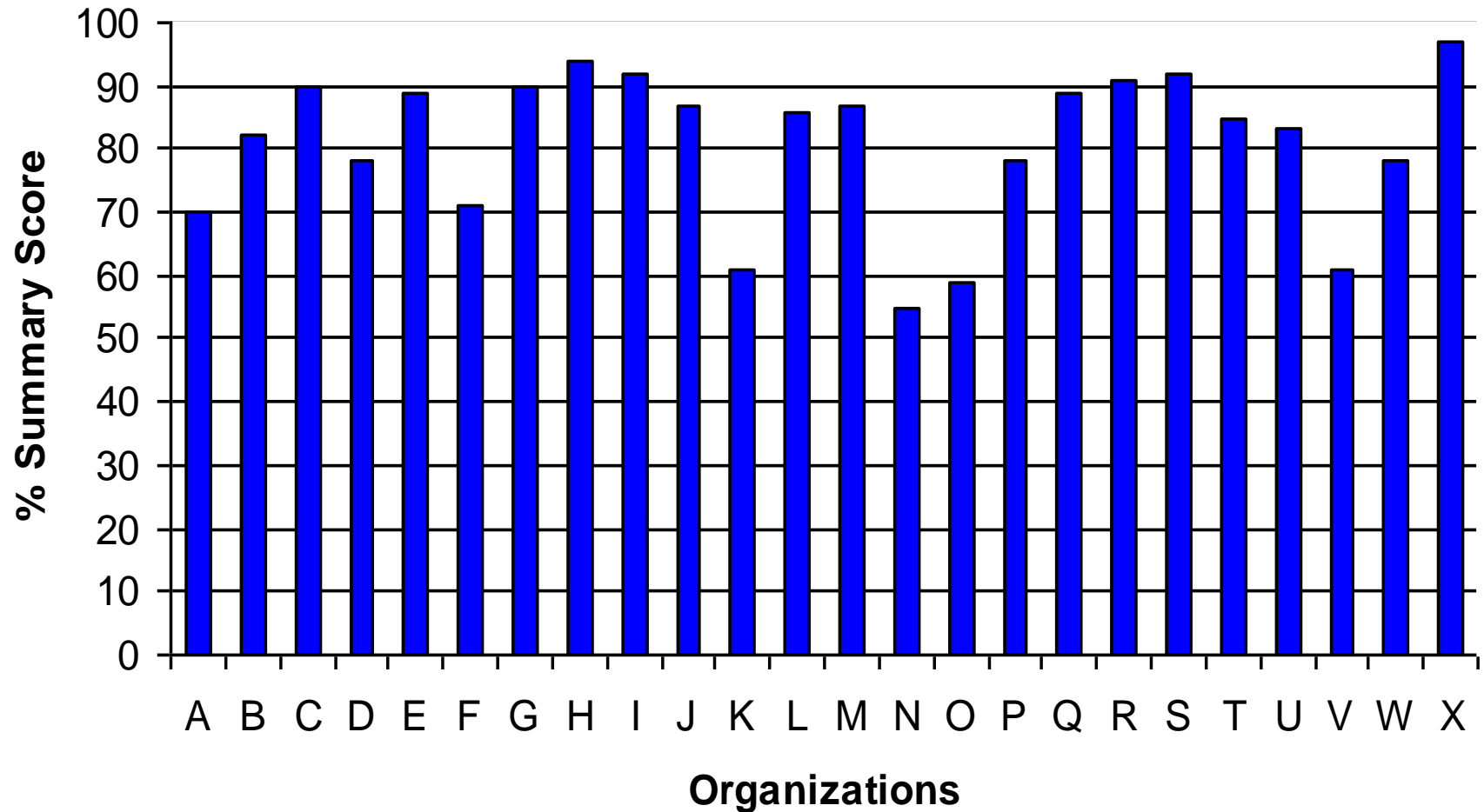
OCA, TOCA & CLOCA AVERAGE SCORES





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CLOCA Score Trends Across Organizations





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How does it work?





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Field Practicum with Local Organizations

- From OCA to Action Plan
 - Priority
 - List a responsible person
 - Due date
 - Technical Assistance needed? Resources? Networking?
- Local Organizations
 - CEOSS
 - Unified
 - LCDA Montazah
 - Bamyan Media
 - Al Gora CDA (Community Development Association)
 - Alliance for Arab Women (AAW)
 - Al-Sadat Association



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- 1. What are you going to take home and apply in your mission from this tool?**
- 2. How could your backstop(s) benefit from this tool?**



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Annex 1: Score Sheet

Section		Sub-section	Score	Section Tally Average Score	USG Score
Governance	●	Vision/Mission	3	2.4	
	●	Organizational Structure	2		
	●	Board Composition and Responsibility	1		
	●	Legal Status	4		
	●	Succession Planning	2		
Administration	●	Office Policies, Procedures and Systems	2		
	★	Travel Policies and Procedures	2	2.4	2
	★	Procurement	3		3
	★	Fixed Assets Control	3		3
	★	Branding/Marking	2		2
Human Resources Management	●	Job Descriptions	2	2.1	
	●	Recruitment and Retention	2		
	●	Staffing Levels	3		
	★	Personnel Policies	3		3
	★	Staff Time Management	2		2
	★	Staff Professional and Salary History Documentation	2		2
	●	Staff Salaries and Benefits Policy	2		
	●	Staff Performance Management	1		
	●	Volunteers/Interns	2		
Financial Management	●	Financial Systems	3	2.7	
	●	Financial Controls	3		
	●	Financial Documentation	3		
	★	Audits	3		3
	★	Financial Reporting	3		3
	★	Cost Share	1		1
Organizational Management	●	Strategic Planning	1	2.5	
	★	Work plan Development	4		4
	●	Change Management	2		
	●	Knowledge Management	3		
	●	Stakeholder Involvement	3		
	●	New Opportunity Development	2		
	●	Communication	3		
	●	Decision Making	2		
Program Management	★	Donor Compliance	2	2.2	2
	★	Sub-grant Management	N/A		N/A
	●	Technical Reporting	3		
	●	Referral	2		
	●	Community Involvement	2		
	●	Culture and Gender	2		
Project Performance Management	●	NN Program Implementation Status	1	1.8	
	●	Field Oversight	2		
	●	Standards	2		
	●	Supervision	2		
	★	Monitoring and Evaluation	2		2
	●	Quality Assurance	2		
AVERAGE Organizational Capacity Score			2.3		
Average USG Grant Implementation Capacity Score				★	2.5
Average Organizational Capacity Score without USG Sub-sections				2.2	



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ATK K OCA Action Plan

OCA Dates:

May/22/2009

Action Plan Monitoring Strategy (person responsible for monitoring progress of action plan): EO

Section	Issue	Action	Person Responsible	TA/Support Desired	Priority Level	Timeline	Status of AP Item at FU	FU Date
Gov/ Mission	The Mission/Vision is not widely known and it is not always referred to in planning & decision making	Mission/Vision needs to be displayed in all offices and systematically referred to	Kumar	None at this time	M	30-Jun-09		
Gov/ Org Structure	Organogram does not clearly define roles, responsibilities, communication etc	Revise the Organogram & include the support functions	Kumar	None at this time	H	30-Jun-09		
Gov/ Succession plan	While a board exists, it is run informally	Consider developing TOR and having board participate in governance training	Illa	NP to provide governance training	M	30-Dec-09		
Gov/ Succession plan	ATK K is over dependent on its Director	Consider reviewing roles and responsibilities of existing staff and developing a succession plan/process	Kumar	NP to share succession plan example (ARC)	M	30-Dec-09		
Admin/ OP	Documented administrative policies and procedures exist but they are neither complete nor in compliance with USG rules and regulations	Finalize Admin manual	Joseph	NP to review manuals & in-house short term consultant	H	30-Oct-09		
Admin/ Travel	ATK K does not have a consolidated travel policy that caters for all aspects of travel	Amend travel policies and procedures to be more comprehensive and USG compliant	Joseph	NP to review manuals & in-house short term consultant	H	30-Jun-09		
Admin/ Proc	Documented procurement guidelines exist but are not clear re: threshold and signatory approval	Current administrative manual to be reviewed and revised as required	Joseph	NP to review manuals & in-house short term consultant	H	30-Jun-09		
Admin/ Fixed Asset	Fixed Assets policy lacks billing guidelines for shared equipment between different projects	1. Develop and document a billing system for shared costs. 2. Introduce after sales maintenance contracts with suppliers.	Joseph	NP to provide templates & in-house short term consultant	H	30-Jun-09		



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HR/JD	Current job descriptions do not specify the skills required	Review job descriptions and include required skills	Evelyn	NP to review & provide examples as requested	M	30-Jul-09		
HR/JD	There is no clear process for job description review.	HR Manual should detail a process for job description review	Evelyn	NP is reviewing the manual and will provide guidelines – Caroline M.	M	18-Jun-09		
HR/ Recruit& Retain	There are no documented recruitment and retention procedures.	1. Complete the HR manual and ensure that a comprehensive recruitment policy is included. 2. Document reference checks and exit interviews, analyze reasons for leaving to improve retention.	Evelyn	NP is reviewing the manual and will provide guidelines - Caroline M	M	18-Jun-09		
HR/ Personnel policy	Incomplete HR Manual	Complete the development of HR manual and ensure that the content is USG compliant	Evelyn	NP is reviewing the manual and will provide guidelines - Caroline M	M	18-Jun-09		
HR/ Drug free	The policy has been written and shared however staff have not signing off	Ensure that all staff sign off drug free policy	Peter	None	H	18-Jun-09		
HR/ Staff time	The time sheets are not USG compliant re: no individual filling of timesheets and time by project not recorded	Review the time sheet implemented and ensure that it is USG compliant	Joseph	NP completes review by 22/May 2009	H	18-Jun-09		
HR/ History	Bio data forms have not been used to capture and or track employee salary history	complete the development of bio data forms to ensure that all relevant information is captured for new employees	Evelyn	None at this time	H	18-Jun-09		
HR/ Salaries	There is no documented salary structure used to determine employee salaries	Develop and document a salary structure.	Kumar	HR training by NP	M	30-Aug-09		
HR/ Perform Mgt	There is no clear performance management system	The HR manual should include a comprehensive performance management system Orient staff on use	Evelyn	NP is reviewing the manual and will provide guidelines - CM.	H	18-Jun-09		



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HR/ Volunteer	Volunteer manual lacks a detailed retention strategy.	Develop and document strategies to retain volunteers.	Kumar	NP to share best practices from other partners	M	30-Jul-09		
Fin/ Systems	Incomplete financial manual that is not USG compliant	1. Finalize the financial manual and ensure that it includes guidance on foreign exchange computations. 2. Finalize the chart of accounts in compliance with USG requirements.	Joseph	NP reviewing manual - EV	H	15-Jun-09		
Fin/ Controls	Existing financial controls do not document signatory authority / approval matrix.	Develop and document signatory authority / approval matrix	Peter	None at this time	M	5-Jun-09		
Fin/Doc	Invoices are not stamped "PAID"	Purchase a "PAID" stamp and ensure that documents are stamped accordingly to avoid double payment.	Mutuku	none	H	30-May-09		
Fin/ Audits	While annual audits have been conducted findings are not shared with all members of the management team only the board reviews findings	Disseminate audit findings to relevant staff.	Kumar	none	L	30-Apr-10		
Fin/ Reports	Spot checks are not conducted	Conduct and document spot checks e.g. cash counts	Joseph	none	M	30-Jun-09		
Fin/ Cost Share	There are no written guidelines for recording cost share.	Develop mechanisms for documenting cost share	Peter	NP to train in sub partner mgt and provide guidelines	H	30-Jul-09		
OM/ Strategic plan	There is no strategic plan	develop a strategic plan for ATK K	Peter	none	L	1-Jun-10		
OM/ Change Mgt	Response to change is reactive	ATK HQ to share change management policy	Peter	NP HR Training	M	30-Jun-09		
OM/ Knowledge Mgt	Currently ATK is weak on incorporating findings on learning from training, partner meetings and programs into their operations	1. Set time for reflection of new input and how to use in operations. 2. Seek opportunities for new learning 3. Ensure membership in Mission implementing Partner meetings / OVC meetings	Evelyn	none	M	30-Jul-09		



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OM/ New Opportunity Development	There is no deliberate focus on new opportunity development	Develop and document a strategy for program continuity which includes income generating activities.	Peter	none	L	1-Jun-10		
OM/ Communication	Communication between field and head office is still a challenge	1. Review current communication channels between head office and field 2. Introduce team building activities into program	Evelyn	none	M	30-Jun-09		
OM/ Decision Making	Decision making processes are not consistently documented	Diversify the communication platforms to enable staff to either contribute to or be informed on decision making processes e.g. staff bulletin.	Dr.K	none	M	30-Jun-09		
PM/ Donor Compliance	Office has not yet requested for VAT exemption from the mission.	Seek guidance on VAT exemption from the USAID mission K	Joseph	USAID mission K to give guidance (JW)	M	18-Jun-09		
PM/ Donor Compliance	USG rules and regulations have not been fully integrated into ATK manuals	Complete the reviewing process of the manuals and ensure they are USG compliant.	see above					
PM/ Referral	ATK not aware of USG funded programs in project area	coordinate with the mission to identify USAID funded sites	Dr.K	List from USAID mission K - JW	M	30-Jun-09		
PM/ Referral	No existing mechanisms for monitoring quality of service at the referral sites	develop a system of assessing the quality of services received at the referral sites	Dr.K	Specific support to be identified during the TCA	M	30-Dec-09		
PM/ Community Involvement	While there is adequate involvement of the community, there are no written guidelines that are shared across the organization	Develop a system that consistently involves the community at all levels of the program	Kumar	Specific support to be identified during the TCA (identify community involvement tools)	M	30-Dec-09		
PM/ Culture & Gender	While culture and gender is considered in programming there are no written guidelines on how to incorporate culture and gender into all aspects of program activity	1. develop tools to assess culture and gender roles 2. Document HQge 3. Incorporate findings into program implementation	Kumar	Specific support to be identified during the TCA	M	30-Dec-09		



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PPM/ Field Oversight	While field oversight does occur, it is not formalized, documented or consistent	Review current practice and document process for field support and oversight	Dr.K	NP to share information on sub partner mgt	M	30-Jul-09		
PPM/ Stds	Incomplete service delivery standards	1. Finalize standards across the program, 2. Orient staff, 3. Develop mechanisms for assessing adherence amongst staff	Dr.K	Specific support to be identified during the TCA		30-Jan-10		
PPM/ Supervision	No definitive plan for how supervisors will monitor application of standards nor how supervisors will be identified / trained	Develop and document support supervision guidelines	Evelyn	NP HR Training	M	30-Aug-09		
PPM/ M&E	No documented plan for M & E across the program	1.Develop and document M & E plan that includes PEPFAR indicators 2. Develop a system for analysis and HQge of results at all levels	Kumar	1.NP M & E Training 2 Draft SoW for NN M & E advisor (BD & Naomi)	H	30-Jun-09		
PPM/ QA	While QA exists for clinical work, QA plan for general program does not exist	Develop and document QA Plan that covers all elements of the program	Dr.K	1.NP to support process 2. Share yellow star manual from Uganda 3. NP to innovate ways of certification/ recognition for NN partners	M	30-Sep-09		

Participants

ATK: PS
IP
Dr. K
HA
JN
MMM
EO

NP: BD
CB
CM
EB

USAID: AA
JW